

**STATEMENT UNDER 37 CFR 3.73(b)**

Atty. Docket No. 3057.0010001

Applicant/Patent Owner: ELLIS et al.Application No./Patent No.: 7,191,447 Filed/Issue Date: March 13, 2007Title: Managing Transfers of Information in a Communications Network

Soverain Software LLC, a Limited Liability Corporation  
 (Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest in;
2. ☐ an assignee of less than the entire right, title, and interest in  
 (The extent (by percentage) of its ownership interest is \_\_\_\_\_ %); or
3. ☐ the assignee of an undivided interest in the entirety of (a complete assignment from one of the joint inventors was made)  
 the patent application/patent identified above, by virtue of either:

- A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy therefore is attached.

OR

- B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: ELLIS et al. To: OPENMARKET, INC.

The document was recorded in the United States Patent and Trademark Office at

Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: OPENMARKET, INC. To: DIVINE TECHNOLOGY VENTURES

The document was recorded in the United States Patent and Trademark Office at

Reel 013305, Frame 0593, or for which a copy thereof is attached.

3. From: DIVINE TECHNOLOGY VENTURES To: SARATOGA DMS, LLC

The document was recorded in the United States Patent and Trademark Office at

Reel 015056, Frame 0720, or for which a copy thereof is attached.

- ☒ Additional documents in the chain of title are listed on a supplemental sheet(s).

- ☒ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Signature

Katharine Wolanyk

Printed or Typed Name

Date

09 MAR 2011  
President, Soverain Software LLC

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

**Supplemental Sheet to Chain of Title, Item B of the  
Statement Under 37 CFR 3.73(b) (PTO/SB/96)**

Applicant/Owner: ELLIS et al.

Application No./Patent No.: 7,191,447

Application Date/Issue Date: March 13, 2007

Title: Managing Transfers of Information in a Communications Network

Name of Assignee: Sovereign Software LLC Type of Assignee: Limited Liability Corporation

**Supplemental Sheet to Part B: Continuation of the chain of title from the inventor(s), of the patent  
application/patent identified above, to the current assignee as follows:**

4. From: SARATOGA DMS, LLC To: DATA RETURN MANAGED SERVICES LLC

The document was recorded in the United States Patent and Trademark Office at

Reel 015074, Frame 0261, or for which a copy thereof is attached.

5. From: DATA RETURN MANAGED SERVICES LLC To: DATA RETURN LLC

The document was recorded in the United States Patent and Trademark Office at

Reel 015105, Frame 0016, or for which a copy thereof is attached.

6. From: DATA RETURN LLC To: SOVERAIN SOFTWARE LLC

The document was recorded in the United States Patent and Trademark Office at

Reel 015107, Frame 0537, or for which a copy thereof is attached.

7. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at

Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

8. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at

Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

9. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at

Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

10. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at

Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

# ASSIGNMENT

For valuable consideration, we, John R. Ellis, of Woodside, California; David K. Gifford of Weston, Massachusetts; G. Winfield Treese of Newton, Massachusetts; hereby assign to Open Market, Inc., a Delaware corporation having a place of business at 245 First Street, Cambridge, MA 02142, and its successors and assigns (collectively hereinafter called "the Assignee"), the entire right, title and interest throughout the world in the inventions and improvements which are subject of an application for United States Patent Application No. 08/548,137, filed October 25, 1995, entitled MANAGING TRANSFERS OF INFORMATION IN A COMMUNICATIONS NETWORK

this assignment including said application, any and all United States and foreign patents, utility models, and design registrations granted for any of said inventions or improvements, and the right to claim priority based on the filing date of said application under the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, the European Patent Convention, and all other treaties of like purposes; and we authorize the Assignee to apply in all countries in our name or in its own name for patents, utility models, and design registrations and like rights of exclusion and for inventors' certificates for said inventions and improvements; and we agree for ourselves and our respective heirs, legal representatives and assigns, without further compensation to perform such lawful acts and to sign such further applications, assignments, Preliminary Statements and other lawful documents as the Assignee may reasonably request to effectuate fully this assignment.

In Witness Whereof, I hereto set my hand and seal at Menlo Park  
this 14 day of October, 1998. 7  
John R. Ellis L.S.

STATE OF California:  
COUNTY OF San Mateo:  
SS.

Before me this 14<sup>th</sup> day of October, 1998, 7 personally appeared John R. Ellis known to me to be the person whose name is subscribed to the foregoing Assignment and acknowledged that he executed the same as his free act and deed for the purposes therein contained.

David A. Rickwell  
Notary Public

My Commission Expires: Feb 4, 2000

[Notary's Seal Here]



DO NOT FORWARD  
TO ASSIGNMENT BRANCH  
NOT FOR RECORDATION

IN WITNESS WHEREOF, I hereto set my hand and seal at Cambridge  
this 22nd day of October, 1996  
David K. Gifford \_\_\_\_\_ L.S.

STATE OF Massachusetts \_\_\_\_\_  
COUNTY OF Middlesex \_\_\_\_\_

Before me this 22nd day of October, 1996, personally appeared David K. Gifford known to me to be the person whose name is subscribed to the foregoing Assignment and acknowledged that he executed the same as his free act and deed for the purposes therein contained.

Lisa M. Humphreys  
Notary Public

My Commission Expires: Jan. 1, 2004

[Notary's Seal Here]

IN WITNESS WHEREOF, I hereto set my hand and seal at Cambridge  
this 16th day of October, 1996  
G. Winfield Treese \_\_\_\_\_ L.S.  
G. Winfield Treese

STATE OF Massachusetts \_\_\_\_\_  
COUNTY OF Middlesex \_\_\_\_\_

Before me this 16th day of October, 1996, personally appeared G. Winfield Treese known to me to be the person whose name is subscribed to the foregoing Assignment and acknowledged that he executed the same as his free act and deed for the purposes therein contained.

Lisa M. Humphreys  
Notary Public

My Commission Expires: Jan. 1, 2004

[Notary's Seal Here]